

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 1 of 11

**Complete if Known**

Application Number	09/976,443
Filing Date	October 12, 2001
First Named Inventor	Ronald E. Sloan
Art Unit	3684
Examiner Name	Nguyen, Nga B.
Attorney Docket Number	10761.0185-01

**U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS**

Examiner Initials	Cite No.	Document Number	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code (if known)			
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	2	5,126,936	06-30-1992	Champion et al.	
	3	5,161,103	11-03-1992	Kosaka et al.	
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**Note: Submission of copies of U.S. Patents and published U.S. Patent Applications is not required.****FOREIGN PATENT DOCUMENTS**

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	51	"GE Center for Financial Learning: Planning Tools, 'How Much Am I Spending?' " Internet Article, Online! 1999-2000. Retrieved from the Internet: <a href="http://www.financiallearning.com/ge/calculator.jsp?old=9705&amp;BV_SessionID=@@@@1126282150.1003930066@@@&amp;BV_EngineID=cadcfkmghkgbdgcgceckh.0">www.financiallearning.com/ge/calculator.jsp?old=9705&amp;BV_SessionID=@@@@1126282150.1003930066@@@&amp;BV_EngineID=cadcfkmghkgbdgcgceckh.0</a> on Oct. 24, 2001; 3 pgs.	
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	62	European Patent Application No. 01927371.3 (Publication No. EP 1269386), Communication pursuant to Article 96(2), with Annex to the communication; Date: June 5, 2003.	
	63	European Patent Application No. 01927371.3 (Publication No. EP 1269386), Decision to refuse a European Patent Application, with Annex to the communication; Date: March 17, 2005.	
	64	European Patent Application No. 01927371.3 (Publication No. EP 1269386), Minutes of the oral proceedings before the Examining Division; Date of Proceedings: February 17, 2005, Date of Minutes: March 17, 2005.	
	65	European Patent Application No. 01927371.3 (Publication No. EP 1269386), Summons to attend oral proceedings, with Annex to the communication; Date: October 27, 2004.	
	66	European Patent Application No. 02759326.8 (Publication No. EP 1419468), Communication pursuant to Article 96(2) EPC, with Annex to the communication; Date: September 19, 2005.	
	67	European Patent Application No. 02759326.8 (Publication No. EP 1419468), Minutes of the oral proceedings before the Examining Division, with Annex to the communication; Date of Proceedings: November 4, 2009, Date of Minutes: December 10, 2009.	
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Examiner Signature	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	09/976,443
				Filing Date	October 12, 2001
				First Named Inventor	Ronald E. Sloan
				Art Unit	3684
				Examiner Name	Nguyen, Nga B.
				Attorney Docket Number	10761.0185-01
Sheet	4	of	11		

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS); title of the article (when appropriate); title of the item (book, magazine, journal, serial, symposium, catalog, etc.); date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation	
	70	European Patent Application No. 02765976.2 (Publication No. EP 1423813), Communication pursuant to Article 96(2) EPC, with Annex to the communication; Date: February 10, 2005.		
	71	European Patent Application No. 02765976.2 (Publication No. EP 1423813), Communication regarding the declaration under Rule 45 EPC, with Annex to the communication; Date: July 1, 2004.		
	72	European Patent Application No. 02765976.2 (Publication No. EP 1423813), Decision to refuse a European Patent application; Date: January 21, 2008.		
	73	European Patent Application No. 02765976.2 (Publication No. EP 1423813), Minutes of the oral proceedings before the Examining Division, with Annexes to the communication; Date of Proceedings: November 27, 2007; Date of Minutes: January 21, 2008.		
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	81	FANO, A.E. "A Strategy-Based Theory of Planning For Goal-Based Scenario-Learning Environments" <i>Dissertation Abstracts International</i> , Vol. 57, Issue 11-B, 1996. Retrieved from Dialog, File 35: Dissertation Abs Online, 1 pg.		
	82	FANO, A.E. "Shopper's Eye: Using Location-based Filtering For a Shopping Agent in the Physical World" Proceedings of the 2nd International Conference on Autonomous Agents, May 9-13, 1998. Retrieved from Dialog, File 2: INSPEC, 2 pgs.		
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	84	International Patent Application No. PCT/US00/30389 (Publication No. WO 01/33467), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: September 18, 2001.		
	85	International Patent Application No. PCT/US00/30389 (Publication No. WO 01/33467), International Preliminary Examination Report; Date of Completion: August 15, 2002.		
	86	International Patent Application No. PCT/US00/30423 (Publication No. WO 01/33402), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: November 5, 2001.		
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	88	International Patent Application No. PCT/US00/41850 (Publication No. WO 01/37187), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: February 5, 2002.		
	89	International Patent Application No. PCT/US00/41850 (Publication No. WO 01/37187), International Preliminary Examination Report; Date of Completion: September 7, 2002.		
	90	International Patent Application No. PCT/US00/41852 (Publication No. WO 01/33474), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: September 25, 2001.		
	91	International Patent Application No. PCT/US00/41852 (Publication No. WO 01/33474), International Preliminary Examination Report; Date of Completion: July 26, 2002.		
	92	International Patent Application No. PCT/US00/41855 (Publication No. WO 01/67334), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: August 23, 2001.		
	93	International Patent Application No. PCT/US00/41855 (Publication No. WO 01/67334), International Preliminary Examination Report; Date of Completion: February 10, 2002.		
	94	International Patent Application No. PCT/US00/41872 (Publication No. WO 01/33476), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: May 28, 2003.		
	95	International Patent Application No. PCT/US00/41872 (Publication No. WO 01/33476), International Preliminary Examination Report; Date of Completion: April 8, 2005.		
	96	International Patent Application No. PCT/US01/40213 (Publication No. WO 01/65907), Declaration of Non-Establishment of International Search Report Under PCT Article 17(2)(a); Date of Mailing: June 15, 2001.		
	97	International Patent Application No. PCT/US01/40213 (Publication No. WO 01/65907), International Preliminary Examination Report; Date of Completion: October 16, 2003.		
	98	International Patent Application No. PCT/US01/40213 (Publication No. WO 01/65907), Written Opinion; Date of Mailing: April 4, 2003.		
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	101	International Patent Application No. PCT/US02/25488 (Publication No. WO 03/17040), International Preliminary Examination Report; Date of Completion: May 19, 2004.		
	102	International Patent Application No. PCT/US02/25488 (Publication No. WO 03/17040), International Search Report; Date of Mailing: June 23, 2003.		
	103	International Patent Application No. PCT/US02/25489 (Publication No. WO 03/14884), International Preliminary Examination Report; Date of Completion: July 2, 2003.		
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	107	International Patent Application No. PCT/US02/25492 (Publication No. WO 03/39227), International Preliminary Examination Report; Date of Completion: November 2, 2003.	
	108	International Patent Application No. PCT/US02/25492 (Publication No. WO 03/39227), International Search Report; Date of Mailing: August 18, 2003.	
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	120	Office Action issued in U.S. Patent Application No. 09/431,668; Date Mailed: May 24, 2002.	
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	123	Office Action issued in U.S. Patent Application No. 09/451,596, Restriction Requirement; Mail Date: June 27, 2002.	
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	132	Office Action issued in U.S. Patent Application No. 09/520,564; Date Mailed: July 1, 2002.	
	133	Office Action issued in U.S. Patent Application No. 09/520,580, Advisory Action; Date Mailed: February 9, 2005.	
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	143	Office Action issued in U.S. Patent Application No. 09/520,940; Advisory Action; Date Mailed: July 12, 2004.	
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	146	Office Action issued in U.S. Patent Application No. 09/520,940; Date Mailed: February 25, 2003.	
	147	Office Action issued in U.S. Patent Application No. 09/520,940; Date Mailed: April 8, 2005.	
	148	Office Action issued in U.S. Patent Application No. 09/520,940; Date Mailed: June 25, 2002.	
	149	Office Action issued in U.S. Patent Application No. 09/520,940; Date Mailed: August 26, 2003.	
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	151	Office Action issued in U.S. Patent Application No. 09/520,940; Examiner's Answer before the Board of Patent Appeals and Interferences; Date Mailed: March 21, 2006.	
	152	Office Action issued in U.S. Patent Application No. 09/520,943, Examiner Interview Summary; Date Mailed: September 19, 2006.	
	153	Office Action issued in U.S. Patent Application No. 09/520,943, Examiner's Answer Before the Board of Patent Appeals and Interferences; Date Mailed: September 26, 2006.	
	154	Office Action issued in U.S. Patent Application No. 09/520,943, Examiner's Answer Before the Board of Patent Appeals and Interferences; Date Mailed: November 7, 2005.	
	155	Office Action issued in U.S. Patent Application No. 09/520,943; Advisory Action; Date Mailed: March 12, 2004.	
	156	Office Action issued in U.S. Patent Application No. 09/520,943; Decision on Appeal Before the Board of Patent Appeals and Interferences, Appeal No. 2007-0868; Decided: February 28, 2008.	
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Examiner Signature		Date Considered	

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**INFORMATION DISCLOSURE  
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**Complete if Known**

Application Number	09/976,443
Filing Date	October 12, 2001
First Named Inventor	Ronald E. Sloan
Art Unit	3684
Examiner Name	Nguyen, Nga B.
Attorney Docket Number	10761.0185-01

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS); title of the article (when appropriate); title of the item (book, magazine, journal, serial, symposium, catalog, etc.); date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation
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First Named Inventor	Ronald E. Sloan
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<sup>1</sup> The search report for PCT/US02/25488 (WO 03/17040) cited, as an "X" document, on June 23, 2002, a press release, "Webline Communications Unveils New Customer Interaction Software Suite for Enabling Interactive E-Commerce and Customer Service"; Business Wire; New York; Apr 20, 1999, pages 1-3. It is suspected that the reference was mis-cited by the PCT search organization, because a press release of the same title and from the same source but of a different date (August 16, 1999, not April 20, 1999) was found. The August 16, 1999, press release is attached.

Examiner Signature	Date Considered
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